

03/09/01  
J1042 U.S. PTO

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42390P4290DC

First Inventor or Application Identifier Edward J. Bawolek

Title Method and Apparatus for Employing a Light Shield to Modulate Pixel Color

Express Mail Label No. EL635698836US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ Specification Total Pages   
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets

5. Oath or Declaration Total Pages   
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a. ☐ Computer Readable Form (CFR)

b. ☐ Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ Paper

c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)

11. ☐ English Translation Document (if applicable)

12. ☒ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO - 1449 Citations

13. ☒ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16. ☐ Request and Certification under 35 USC 122(b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.

17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09 / 524,081

Prior application Information: Examiner Diaz, J. Group/Art Unit: 2815

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number of Bar Code Label



\*08791\*

or ☐ Correspondence address below

Name BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Address 12400 Wilshire Boulevard, Seventh Floor

City Los Angeles

State

California

Zip Code

90025

Country U.S.A.

Telephone

(310) 207-3800

Fax

(310) 820-5988

Name (Print/Type) William Thomas Babbitt, Reg. No. 39,591

Signature

*William T Babbitt*

Date

3/9/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2> <p style="font-size: small; margin: 5px 0;">Patent fees are subject to annual revision.</p>		<b>Complete if Known</b>	
<b>TOTAL AMOUNT OF PAYMENT</b> (\$) <span style="float: right;">710.00</span>		Application Number <span style="float: right;">09/524,081</span>	
		Filing Date <span style="float: right;"></span>	
		First Named Inventor <span style="float: right;">Edward J. Bawolek, et al.</span>	
		Examiner Name <span style="float: right;">Diaz, J.</span>	
		Group Art Unit <span style="float: right;">2815</span>	
		Attorney Docket Number <span style="float: right;">42390P4290DC</span>	

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																												
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number <span style="border: 1px solid black; padding: 2px 20px;">02-2666</span></p> <p>Deposit Account Name <span style="border: 1px solid black; padding: 2px 40px;">Blakely, Sokoloff, Taylor &amp; Zafman LLP</span></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p style="margin-left: 20px;"> <input checked="" type="checkbox"/> Check                <input type="checkbox"/> Money Order                <input type="checkbox"/> Other           </p>	<p>3. <b>ADDITIONAL FEE</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity</th> <th style="text-align: left;">Small Entity</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee Code</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130 205</td> <td>65 Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>50 227</td> <td>25 Surcharge - late provisional filing fee or cover sheet.</td> <td></td> </tr> <tr> <td>139</td> <td>130 139</td> <td>130 Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,520 147</td> <td>2,520 For filing a request for ex parte reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>920 112</td> <td>920 Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>1,840 113</td> <td>1,840 Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>110 215</td> <td>55 Extension for response within first month</td> <td></td> </tr> <tr> <td>116</td> <td>390 216</td> <td>195 Extension for response within second month</td> <td></td> </tr> <tr> <td>117</td> <td>890 217</td> <td>445 Extension for response within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,390 218</td> <td>695 Extension for response within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1,890 228</td> <td>945 Extension for response within fifth month</td> <td></td> </tr> <tr> <td>119</td> <td>310 219</td> <td>155 Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>310 220</td> <td>155 Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>270 221</td> <td>135 Request for oral hearing</td> <td></td> </tr> <tr> <td>138</td> <td>1,510 138</td> <td>1,510 Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>110 240</td> <td>55 Petition to revive - unavoidably</td> <td></td> </tr> <tr> <td>141</td> <td>1,240 241</td> <td>620 Petition to revive - unintentionally</td> <td></td> </tr> <tr> <td>142</td> <td>1,240 242</td> <td>620 Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143</td> <td>440 243</td> <td>220 Design issue fee</td> <td></td> </tr> <tr> <td>144</td> <td>600 244</td> <td>300 Plant issue fee</td> <td></td> </tr> <tr> <td>122</td> <td>130 122</td> <td>130 Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>50 123</td> <td>50 Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126</td> <td>180 126</td> <td>180 Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581</td> <td>40 581</td> <td>40 Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146</td> <td>710 246</td> <td>355 Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>149</td> <td>710 249</td> <td>355 For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td>179</td> <td>710 279</td> <td>355 Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>169</td> <td>900 169</td> <td>900 Request for expedited examination of a design application</td> <td></td> </tr> <tr> <td colspan="4" style="padding-top: 10px;">           Other fee (specify) _____         </td> </tr> </tbody> </table>	Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code	Fee Code			105	130 205	65 Surcharge - late filing fee or oath		127	50 227	25 Surcharge - late provisional filing fee or cover sheet.		139	130 139	130 Non-English specification		147	2,520 147	2,520 For filing a request for ex parte reexamination		112	920 112	920 Requesting publication of SIR prior to Examiner action		113	1,840 113	1,840 Requesting publication of SIR after Examiner action		115	110 215	55 Extension for response within first month		116	390 216	195 Extension for response within second month		117	890 217	445 Extension for response within third month		118	1,390 218	695 Extension for response within fourth month		128	1,890 228	945 Extension for response within fifth month		119	310 219	155 Notice of Appeal		120	310 220	155 Filing a brief in support of an appeal		121	270 221	135 Request for oral hearing		138	1,510 138	1,510 Petition to institute a public use proceeding		140	110 240	55 Petition to revive - unavoidably		141	1,240 241	620 Petition to revive - unintentionally		142	1,240 242	620 Utility issue fee (or reissue)		143	440 243	220 Design issue fee		144	600 244	300 Plant issue fee		122	130 122	130 Petitions to the Commissioner		123	50 123	50 Petitions related to provisional applications		126	180 126	180 Submission of Information Disclosure Stmt		581	40 581	40 Recording each patent assignment per property (times number of properties)		146	710 246	355 Filing a submission after final rejection (37 CFR 1.129(a))		149	710 249	355 For each additional invention to be examined (37 CFR 1.129(b))		179	710 279	355 Request for Continued Examination (RCE)		169	900 169	900 Request for expedited examination of a design application		Other fee (specify) _____			
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																										
Fee Code	Fee Code																																																																																																																												
105	130 205	65 Surcharge - late filing fee or oath																																																																																																																											
127	50 227	25 Surcharge - late provisional filing fee or cover sheet.																																																																																																																											
139	130 139	130 Non-English specification																																																																																																																											
147	2,520 147	2,520 For filing a request for ex parte reexamination																																																																																																																											
112	920 112	920 Requesting publication of SIR prior to Examiner action																																																																																																																											
113	1,840 113	1,840 Requesting publication of SIR after Examiner action																																																																																																																											
115	110 215	55 Extension for response within first month																																																																																																																											
116	390 216	195 Extension for response within second month																																																																																																																											
117	890 217	445 Extension for response within third month																																																																																																																											
118	1,390 218	695 Extension for response within fourth month																																																																																																																											
128	1,890 228	945 Extension for response within fifth month																																																																																																																											
119	310 219	155 Notice of Appeal																																																																																																																											
120	310 220	155 Filing a brief in support of an appeal																																																																																																																											
121	270 221	135 Request for oral hearing																																																																																																																											
138	1,510 138	1,510 Petition to institute a public use proceeding																																																																																																																											
140	110 240	55 Petition to revive - unavoidably																																																																																																																											
141	1,240 241	620 Petition to revive - unintentionally																																																																																																																											
142	1,240 242	620 Utility issue fee (or reissue)																																																																																																																											
143	440 243	220 Design issue fee																																																																																																																											
144	600 244	300 Plant issue fee																																																																																																																											
122	130 122	130 Petitions to the Commissioner																																																																																																																											
123	50 123	50 Petitions related to provisional applications																																																																																																																											
126	180 126	180 Submission of Information Disclosure Stmt																																																																																																																											
581	40 581	40 Recording each patent assignment per property (times number of properties)																																																																																																																											
146	710 246	355 Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																											
149	710 249	355 For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																											
179	710 279	355 Request for Continued Examination (RCE)																																																																																																																											
169	900 169	900 Request for expedited examination of a design application																																																																																																																											
Other fee (specify) _____																																																																																																																													
<p><b>FEE CALCULATION</b></p> <p>1. <b>FILING FEE</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity</th> <th style="text-align: left;">Small Entity</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee Code</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>101</td> <td>710 201</td> <td>355 Utility filing fee</td> <td>\$710</td> </tr> <tr> <td>106</td> <td>320 206</td> <td>160 Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>490 207</td> <td>245 Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>710 208</td> <td>355 Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150 214</td> <td>75 Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td><b>(\$) 710.00</b></td> </tr> </tbody> </table> <p>2. <b>EXTRA CLAIM FEES</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Total Claims</th> <th style="text-align: left;">Extra Claims</th> <th style="text-align: left;">Fee from below</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Independent Claims 6</td> <td>-20** = 0</td> <td>X \$18.00 =</td> <td>0.00</td> </tr> <tr> <td>Claims 2</td> <td>-3** = 0</td> <td>X \$80.00 =</td> <td>0.00</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Large Entity Small Entity</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Fee Code</th> <th style="text-align: left;">Fee Code</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr> <td>103</td> <td>18 203</td> <td>9 Claims in excess of 20</td> <td></td> </tr> <tr> <td>102</td> <td>80 202</td> <td>40 Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104</td> <td>270 204</td> <td>135 Multiple Dependent claim</td> <td></td> </tr> <tr> <td>109</td> <td>80 209</td> <td>40 **Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110</td> <td>18 210</td> <td>9 **Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td><b>(\$) 0.00</b></td> </tr> </tbody> </table> <p style="font-size: x-small;">**or number of previously paid, if greater. For Reissues, see above</p>	Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code	Fee Code			101	710 201	355 Utility filing fee	\$710	106	320 206	160 Design filing fee		107	490 207	245 Plant filing fee		108	710 208	355 Reissue filing fee		114	150 214	75 Provisional filing fee		<b>SUBTOTAL (1)</b>			<b>(\$) 710.00</b>	Total Claims	Extra Claims	Fee from below	Fee Paid	Independent Claims 6	-20** = 0	X \$18.00 =	0.00	Claims 2	-3** = 0	X \$80.00 =	0.00	Multiple Dependent				Fee Code	Fee Code	Fee Description	Fee Paid	103	18 203	9 Claims in excess of 20		102	80 202	40 Independent claims in excess of 3		104	270 204	135 Multiple Dependent claim		109	80 209	40 **Reissue independent claims over original patent		110	18 210	9 **Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>			<b>(\$) 0.00</b>	<p><b>SUBTOTAL (3)</b> (\$)</p>																																																
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																										
Fee Code	Fee Code																																																																																																																												
101	710 201	355 Utility filing fee	\$710																																																																																																																										
106	320 206	160 Design filing fee																																																																																																																											
107	490 207	245 Plant filing fee																																																																																																																											
108	710 208	355 Reissue filing fee																																																																																																																											
114	150 214	75 Provisional filing fee																																																																																																																											
<b>SUBTOTAL (1)</b>			<b>(\$) 710.00</b>																																																																																																																										
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																										
Independent Claims 6	-20** = 0	X \$18.00 =	0.00																																																																																																																										
Claims 2	-3** = 0	X \$80.00 =	0.00																																																																																																																										
Multiple Dependent																																																																																																																													
Fee Code	Fee Code	Fee Description	Fee Paid																																																																																																																										
103	18 203	9 Claims in excess of 20																																																																																																																											
102	80 202	40 Independent claims in excess of 3																																																																																																																											
104	270 204	135 Multiple Dependent claim																																																																																																																											
109	80 209	40 **Reissue independent claims over original patent																																																																																																																											
110	18 210	9 **Reissue claims in excess of 20 and over original patent																																																																																																																											
<b>SUBTOTAL (2)</b>			<b>(\$) 0.00</b>																																																																																																																										

SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name	William Thomas Babbitt, Reg. No. 39,591			Reg. Number	
Signature		Date	5/9/01	Deposit Account User ID	02-2666